Date of Approval: 10/03/2024 Questionnaire Number: 1245

Basic Information/Executive Summary

What is the name of your project (system, database, pilot, product, survey, social media site, etc.)?

Remittance Strategy for Paper Check Conversion (RSPCC)

Business Unit

Taxpayer Services

Preparer

For Official Use Only

Subject Matter Expert

For Official Use Only

Program Manager

For Official Use Only

Designated Executive Representative

For Official Use Only

Executive Sponsor

For Official Use Only

Executive Summary: Provide a clear and concise description of your project and how it will allow the IRS to achieve its mission.

Remittance Strategy for Paper Check Conversion (RS-PCC) enables the Consolidated Campuses, Taxpayer Assistance Centers (TACs) and Revenue Officers (ROs) to electronically process paper remittances at the point of receipt. Using equipment at these locations, the employee can scan the check and the payment voucher. The equipment captures the image and necessary data on each document. The data is forwarded to the Federal Reserve payment system for immediate deposit. Confirmations are returned, enabling the subsequent accounting actions to occur, including the withdrawal of the check amount and crediting payments to the taxpayer's account.

Personally Identifiable Information (PII)

Will this project use, collect, receive, display, store, maintain, or disseminate any type of Sensitive but Unclassified (SBU), Personally Identifiable Information (PII), or Federal Tax Information (FTI)?

Yes

Please explain in detail how this project uses sensitive data from inception to destruction (data lifecycle).

The PII collected in this system is used in the IRS Tax Administration initiatives and strategies: to validate errors on tax returns, assess the correct tax and to aid in the compliance efforts of IRS Revenue Officers, Tax Examiners and Field Agents. The PII collected is also used to produce tax return transcripts requested by the taxpayers and their authorized representatives to support voluntary tax compliance. RS-PCC pulls PII from user entry. Minimizes the collection of PII to that which is only relevant and necessary. While the information is stored in RS-PCC, it is subject to authorization (BEARS). Following the disposition schedule, all records housed in the system will be erased or purged from the system at the conclusion of their retention period(s) as required under IRM 1.15.6. RS-PCC data is approved for destruction at a minimum of 19 days after information has been transferred to the Remittance Transaction Research System (Job No. N1-58-11-9). Disposition instructions are published in IRS Document 12990 under Records Control Schedule (RCS) 29 for Tax Administration, Wage and Investment, item 134.

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.

Email Address

Employer Identification Number

Federal Tax Information (FTI)

Financial Account Number

Individual Taxpayer Identification Number (ITIN)

Social Security Number (including masked or last four digits)

Standard Employee Identifier (SEID)

Tax ID Number

Telephone Numbers

Cite the authority for collecting SBU/PII/FTI (including SSN if relevant).

PII for federal tax administration - generally IRC Sections 6001 6011 or 6012

SSN for tax returns and return information - IRC section 6109

Product Information (Questions)

- 1.1 Is this PCLIA a result of the Inflation Reduction Act (IRA)?
 No
- 1.3 What type of project is this (system, project, application, database, pilot/proof of concept, power platform/visualization tool)?

 System
- 1.35 Is there a data dictionary for this system?
- 1.36 Explain in detail how PII and SBU data flow into, through and out of this system. The PII collected in this system is used in the IRS Tax Administration initiatives and strategies: to validate errors on tax returns, assess the correct tax and to aid in the compliance efforts of IRS Revenue Officers, Tax Examiners and Field Agents. The PII collected is also used to produce tax return transcripts requested by the taxpayers and their authorized representatives to support voluntary tax compliance. Payment transactions must include data in a prescribed format and must meet a variety of validation criteria that ensure proper processing and crediting to the appropriate account. Taxpayers are enrolled and validated based on the IRS's Master Files before payments can be accepted from them.

 Timeliness: The payment information is used to update the appropriate taxpayer account on Master File. Completeness: Payment transactions must be received in a required RS-PCC record format.
- 1.4 Is this a new system?
- 1.5 Is there a Privacy and Civil Liberties Impact Assessment (PCLIA) for this system? Yes
- 1.6 What is the PCLIA number? 5627, Approved 2021
- 1.8 If the system is on the As-Built-Architecture, what is the ABA ID of the system? If this PCLIA covers multiple applications shown on the ABA, please indicate the ABA ID for each application covered separated by a comma.

ABA #210920

1.9 What OneSDLC State is the system in (Allocation, Readiness, Execution)? Execution

2.1 If this system discloses any PII to any third party outside the IRS, does the system have a process in place to account for such disclosures in compliance with IRC 6103(p)(3)(A) or Subsection c of the Privacy Act? Contact Disclosure to determine if an accounting is required. Enter "Yes" or "No". If Exempt, type "Exempt".

No.

2.2 Please provide the full name of and acronym of the governance board or Executive Steering Committee (ESC) this system reports to.

Business or Functional Unit Governance Board

3.1 Does your project/system involve any use of artificial intelligence (AI), including virtual assistant, chat bot, and robotic process automation, as defined in Executive Order 13960?

No

3.3 Does this system use cloud computing?

No

- 3.6 Does this system interact with the public through a web interface?
- 3.7 Describe the business process allowing an individual to access or correct their information.

The RS-PCC system utilizes the IRS BEARS application to document approvals for access. 1. A potential user will request access via the BEARS system. This request must be approved by the potential user's manager based on a user's position and need-to-know. 2. Access to the data is determined by the manager based on a user's position and need-to-know. The manager will request a user to be added. They must submit the request via the Online BEARS process to request access to the System.

4.1 Who owns and operates the system (IRS Owned and Operated, IRS Owned and Contractor Operated, Contractor Owned and Operated)?

IRS

- 4.2 If a contractor owns or operates the system, does the contractor use subcontractors?
- 4.51 How many records in the system are attributable to IRS Employees? Enter "Under 50,000", "50,000 to 100,000", "More than 100,000" or "Not Applicable".

 More than 100,000.
- 4.52 How many records in the system are attributable to contractors? Enter "Under 5,000", "5,000 to 10,000", "More than 10,000" or "Not Applicable".

 Under 5,000

4.53 How many records in the system are attributable to members of the public? Enter "Under 5,000", "5,000 to 10,000", "More than 10,000" or "Not applicable".

Not Applicable

4.54 If records are attributable to a category not mentioned above in 4.51 through 4.53, please identify the category and the number of corresponding records to the nearest 10,000. If none, enter "Not Applicable".

Not Applicable

4.6 How is access to SBU/PII determined and by whom?

The RS-PCC system utilizes the IRS BEARS application to document approvals for access. 1. A potential user will request access via the BEARS system. This request must be approved by the potential user's manager based on a user's position and need-to-know. 2. Access to the data is determined by the manager based on a user's position and need-to-know. The manager will request a user to be added. They must submit the request via the Online BEARS.

5.11 Is there a Risk Assessment Form and Tool (RAFT) associated with this system on file with your organization or the IRS Risk Office.

No

5.2 Does this system use or plan to use SBU data in a non-production environment?

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

SAAS (SPLUNK)

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Secured channel via HTTPS

Interface Type

Other Federal Agencies

Agency Name

OTCNET

Incoming/Outgoing

Both

Transfer Method

Secured channel via HTTPS

Interface Type

IRS Systems, file, or database

Agency Name

EFPPS

Incoming/Outgoing

Both

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

NTIN

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secured channel via HTTPS

Interface Type

IRS Systems, file, or database

Agency Name

LDAP

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secured channel via HTTPS

Interface Type

IRS Systems, file, or database

Agency Name

RTR

Incoming/Outgoing

Outgoing (Sending)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Name Control

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secured channel via HTTPS

Interface Type

IRS Systems, file, or database

Agency Name

SSO

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Secured channel via HTTPS

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

Individual Master File (IMF)

SORN Number & Name

IRS 24.046 - Customer Account Data Engine Business Master File Describe the IRS use and relevance of this SORN.

Business Master File (BMF)

Records Retention

What is the Record Schedule System?

Record Control Schedule (RCS)

What is the retention series title?

Records Control Schedule (RCS) 29 for Tax Administration, Wage and Investment

What is the GRS/RCS Item Number?

134

What type of Records is this for?

Both (Paper and Electronic)

Please provide a brief description of the chosen GRS or RCS item. All records housed in the system will be erased or purged from the system at the conclusion of their retention period(s) as required under IRM 1.15.6. RS-PCC data is approved for destruction 19 days after information has been transferred to the Remittance Transaction Research System (Job No. N1-58-11-9). Disposition instructions are published in IRS Document 12990 under Records Control Schedule (RCS) 29 for Tax Administration, Wage and Investment, item 134.

What is the disposition schedule?

RS-PCC data is approved for destruction 19 days after information has been transferred to the Remittance Transaction Research System (Job No. N1-58-11-9).

Data Locations

What type of site is this?

Environment

What is the name of the Environment?

XXXXXXX

What is the sensitivity of the Environment?

Federal Tax Information (FTI)

What is the URL of the item, if applicable?

https://rspcc.web.irs.gov/rspccweb

Please provide a brief description of the Environment.

The RS-PCC application resides on the GSS-24 UNIX Consolidated Platform in the Enterprise Computing Center -XXXXXXX (ECC-XXX). Unlike the first release where RS-PCC used an off-the-shelf check scanning client deployed on the user workstations, the second release uses an internet browser-based web application and will rely on the GSS-32 COE Workstations. RS-PCC Entry Operators and Supervisors access the RS-PCC system via web application hosted on JBoss 7 Application Server. The web application provides a user interface with the capability to capture, validate and report information and communicates with the Documentum Content Server. The Documentum Content Server is hosted on a second server and provides the system with a repository for storing both structured data, such as remittance and taxpayer information, and unstructured data, such as remittance images. The system stores the repository in an Oracle 19c database. The Documentum Business Process Engine, hosted with the Content Server, provides a means to orchestrate services both internal and external to the system, to deposit remittance to the taxpayer accounts via EFPPS, and transmit the data and images for long term storage in RTR.

What are the incoming connections to this Environment?

- SSO to RSPCC: RSPCC gets username from SSO connection
- NTIN to RSPCC: RSPCC receives list of Negative TIN from the NegativeTIN web service interface when the use logs in based on the user's SEID.
- Name Control to RSPCC: RSPCC gets the response package that contains correct NC/TIN for the requested user from

GetEntityService web service based on the taxpayer's TIN and NC OTCNET to RSPCC: RSPCC retrieves deposit ticket from OTCNET daily based on the taxpayers' checks information

- EFPPS to RSPCC: sends the data file responses daily using the EFTU interface
- LDAP to RSPCC: RSPCC gets user information such as user SEID, email address, house identifier, group (supervisors, operator, analyst, etc.) from LDAP interface on weekdays

What are the outgoing connections from this Environment?

- RSPCC to NTIN: RSPCC users sends their SEID to the NegativeTIN web service
- RSPCC to Name Control: RSPCC users sends taxpayers' TIN and NC to GetEntityService web service
- RSPCC to OTCNET: RSPCC send taxpayers' checks information to OTCnet
- RSPCC to EFPPS: RSPCC generates daily data files for EFPPS and sends to EFPPS system using EFTU interface
- RSPCC to RTR: RSPCC creates RTR data file and send it to RTR for achieving
- RSPCC to SAAS: RSPCC send SAAS records to SAAS